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Approved for use through 10/31/2002 OMB 0651-0032  
U.S. Patent and Trademark Office, U S DEPARTMENT OF COMMERCE01/11/01  
Jc759/5760

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

<i>Attorney Docket No.</i>	Duke File No. 1838
<i>First Inventor</i>	Jonathan S. Stamler
<i>Title</i>	INHIBITING GS-FDH. . . .
<i>Express Mail Label No.</i>	

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
*(Submit an original and a duplicate for fee processing)*
2.  Applicant claims small entity status.  
See 37 CFR 1.27.
3.  Specification [Total Pages 46] [*preferred arrangement set forth below*]
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (*if filed*)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4.  Drawing(s) (35 U.S.C. 113) [ Total Sheets        ]
5. Oath or Declaration [ Total Pages        ]
  - a.  Newly executed (original or copy)
  - b.  Copy from a prior application (37 CFR 1.63 (d)) (*for continuation/divisional with Box 17 completed*)
    - i.  **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
6.  Application Data Sheet. See 37 CFR 1.76

**ADDRESS TO:** Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (*if applicable, all necessary*)
  - a.  Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i.  CD-ROM or CD-R (2 copies); or
    - ii.  paper
  - c.  Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9.  Assignment Papers (cover sheet & document(s))
10.  37 CFR 3.73(b) Statement  Power of (when there is an assignee)  Attorney
11.  English Translation Document (*if applicable*)
12.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations
13.  Preliminary Amendment
14.  Return Receipt Postcard (MPEP 503) (*Should be specifically itemized*)
15.  Certified Copy of Priority Document(s) (*if foreign priority is claimed*)
16.  Other: .....

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

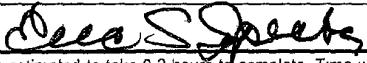
 Continuation     Divisional     Continuation-in-part (CIP)    of prior application No. .... / ....

Prior application information: Examiner \_\_\_\_\_

Group / Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 18. CORRESPONDENCE ADDRESS

<input type="checkbox"/> Customer Number or Bar Code Label	 (Insert Customer No. or Attach bar code label here)			<input checked="" type="checkbox"/> Correspondence address below
Name	ERIC S. SPECTOR			
Address	JONES, TULLAR & COOPER, P.C. P.O. Box 2266 Eads Station			
City	Arlington	State	VA	Zip Code
Country	USA	Telephone	703-415-1500	Fax
Name (Print/Type)	ERIC S. SPECTOR	Registration No. (Attorney/Agent)	22495	
Signature				Date 01/11/01

Burden Hour Statement. This form is estimated to take 0 2 hours to complete Time will vary depending upon the needs of the individual case Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U S Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$ 395.00)

## Complete if Known

Application Number	TBA
Filing Date	January 11, 2001
First Named Inventor	JONATHAN S. STAMLER
Examiner Name	
Group Art Unit	
Attorney Docket No.	Duke File No. 1838

## METHOD OF PAYMENT

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:  
 Deposit Account Number **10-1213**

Deposit Account Name **JONES, TULLAR & COOPER**

Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

Applicant claims small entity status. See 37 CFR 1.27

2.  Payment Enclosed: (Check #15560)  
 Check  Credit card  Money Order  Other

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
Other fee (specify) _____					

SUBTOTAL (1) (\$ 355)

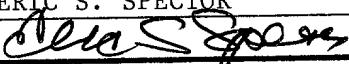
## 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
20	-20** =	NONE	=
3	- 3*** =	NONE	=
			=

SUBTOTAL (2) (\$ NONE)

\*For number previously paid, if greater; For Reissues, see above

Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$ 40)

SUBMITTED BY	Complete if applicable		
Name (Print/Type)	ERIC S. SPECTOR	Registration No. (Attorney/Agent)	22495
Signature			
	Date	Telephone 703-415-1500	
	01/11/01		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

**Practitioner's Docket No.** Duke File No. 1838

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re prior application of:

Application No.: 0 / TBA      Group No.:  
Filed: January 11, 2001      Examiner:  
For: INHIBITING GS-FDH  
TO MODULATE NO BIOACTIVITY

**Assistant Commissioner for Patents**  
**Washington, D.C. 20231**

**APPLICATION DATA SHEET**  
**37 C.F.R. § 1.76**

**NOTE:** 37 C.F.R. § 1.76(a): "Application data sheet. An application data sheet is a sheet or sheets, that may be voluntarily submitted in either provisional or nonprovisional applications, which contains bibliographic data, arranged in a format specified by the Office. If an application data sheet is provided, the application data sheet is part of the provisional or nonprovisional application for which it has been submitted."

**BIBLIOGRAPHIC DATA**

**1. Applicant information**

**NOTE:** 37 C.F.R. § 1.76(b)(1): "(1) Applicant information. This information includes the name, residence, mailing address, and citizenship of each applicant (§ 1.41(b)). The name of each applicant must include the family name, and at least one given name without abbreviation together with any other given name or initial. If the applicant is not an inventor, this information also includes the applicant's authority ( §§ 1.42, 1.43, and 1.47) to apply for the patent on behalf of the inventor."

---

**CERTIFICATION UNDER 37 C.F.R. §§ 1.8(a) and 1.10**  
(When using Express Mail, the Express Mail label number is **mandatory**;  
Express Mail certification is optional.)

I hereby certify that, on the date shown below, this correspondence is being:

**MAILING**

deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner for Patents and Trademarks, Washington, D C 20231  
37 C.F.R. § 1.8(a)       as "Express Mail Post Office to Addressee"  
 with sufficient postage as first class mail.      Mailing Label No. \_\_\_\_\_ (**mandatory**)

**TRANSMISSION**

facsimile transmitted to the Patent and Trademark Office, (703) \_\_\_\_\_ - \_\_\_\_\_

---

Signature

Date: \_\_\_\_\_

---

(type or print name of person certifying)

First applicant:

<u>Jonathan</u> GIVEN NAME	<u>S.</u> MIDDLE INITIAL OR NAME	<u>STAMLER</u> FAMILY (OR LAST NAME)
<u>Citizenship</u> <u>USA</u>		
<u>Residence</u> <u>3416 Juniper Place, Chapel Hill, NC 27514</u>		

Second applicant, (if any)

<u>Limin</u> GIVEN NAME	<u>LIU</u> MIDDLE INITIAL OR NAME	FAMILY (OR LAST NAME)
<u>Citizenship</u> <u>China</u>		
<u>Residence</u> <u>720 S. LaSalle Street, Apt. M., Durham, NC 27705</u>		

Third applicant, (if any)

<u>Alfred</u> GIVEN NAME	<u>HAUSLADEN</u> MIDDLE INITIAL OR NAME	FAMILY (OR LAST NAME)
<u>Citizenship</u> <u>Germany</u>		
<u>Residence</u> <u>3600 Tremont Drive, Apt. D5</u> <u>Durham, NC 27705</u>		

Fourth applicant, if any

<u>Raphael</u> GIVEN NAME	<u>NUDELMAN</u> MIDDLE INITIAL OR NAME	FAMILY (OR LAST NAME)
<u>Citizenship</u> <u>USA</u>		
<u>Residence</u> <u>4407 Beechnut Lane, Durham, NC 27707</u>		

Fifth applicant, (if any)

GIVEN NAME	MIDDLE INITIAL OR NAME	FAMILY (OR LAST NAME)
<u>Citizenship</u>		
<u>Residence</u>		

Sixth applicant, (if any)

GIVEN NAME	MIDDLE INITIAL OR NAME	FAMILY (OR LAST NAME)
<u>Citizenship</u>		
<u>Residence</u>		

(Application Data Sheet [4-1.1]—page 2 of 6)

Applicant is not the inventor and applicant's authority (§§ 1.42, 1.43 and 1.47) to apply for the patent on behalf of the inventor is as follows:

## 2. Correspondence information

NOTE: 37 C.F.R. § 1.76(b)(2): "(2) Correspondence information. This information includes the correspondence address, which may be indicated by reference to a customer number, to which correspondence is to be directed (see § 1.33(a))."

Correspondence for this application should be addressed as follows:

Name: ERIC S. SPECTOR

Address: JONES, TULLAR & COOPER, P.C.  
P.O. Box 2266 Eads Station, Arlington, Virginia 22202

Customer No.: \_\_\_\_\_

## 3. Application information

NOTE: 37 C.F.R. § 1.76(b)(3): "Application information. This information includes the title of the invention, a suggested classification, by class and subclass, the Technology Center to which the subject matter of the invention is assigned, the total number of drawing sheets, a suggested drawing figure for publication (in a nonprovisional application), any docket number assigned to the application, the type of application (e.g., utility, plant, design, reissue, provisional), whether the application discloses any significant part of the subject matter of an application under a secrecy order pursuant to § 5.2 of this chapter (see § 5.2(c)), and, for plant applications, the Latin name of the genus and species of the plant claimed, as well as the variety denomination. The suggested classification and Technology Center information should be supplied for provisional applications whether or not claims are present. If claims are not present in a provisional application, the suggested classification and Technology Center should be based upon the disclosure."

Title of Invention:

Docket number assigned to this application: Duke File No. 1838

Suggested Classification: Class:

Subclass:

Technology Center to which subject matter is assigned: 1600

NOTE: "The suggested classification and Technology Center information should be supplied for provisional applications whether or not claims are present. If claims are not present in a provisional application, the suggested classification and Technology Center should be based upon the disclosure." 37 C.F.R. § 1.76(b)(3).

Total number of drawing sheets: None

Type of application:

utility

application is to be published

Suggested drawing figure for publication: \_\_\_\_\_

application is not to be published

plant

Latin names of the genus \_\_\_\_\_  
species \_\_\_\_\_

of plant being claimed.

design

reissue

provisional

Secrecy order under § 5.2:

This application

does not disclose

discloses a significant part of the

subject matter of an application which is under a secrecy order pursuant to § 5.2.

#### 4. Representative information

NOTE: 37 C.F.R. § 1.76(b)(4) states: "Representative information. This information includes the registration number of each practitioner having a power of attorney or authorization of agent in the application (preferably by reference to a customer number). Providing this information in the application data sheet does **not** constitute a power of attorney or authorization of agent in the application (see § 1.34(b))." (Emphasis added).

The following have a power of attorney or authorization of agent in this application:

Name of attorney (agent): Eric S. Spector; Jennifer P. Yancy; Douglas R. Hanscom

Address: JONES, TULLAR & COOPER, P.C.

P.O. Box 2266 Eads Station, Arlington, Virginia 22202

Customer No.: \_\_\_\_\_

#### 5. Domestic Priority information

NOTE: "Domestic priority information. This information includes the application number, the filing date, the status (including patent number if available), and relationship of each application for which a benefit is claimed under 35 U.S.C. 119(e), 120, 121, or 365(c). Providing this information in the application data sheet constitutes the specific reference required by 35 U.S.C. 119(e) or 120, and § 1.78(a)(2) or § 1.78(a)(4), and need not otherwise be made part of the specification." 37 C.F.R. § 1.76(b)(5).

Domestic priority for this application is claimed as follows:

35 U.S.C. § 119(e): Application No.: \_\_\_\_\_

Filed: \_\_\_\_\_

Status: \_\_\_\_\_

Relationship: \_\_\_\_\_

(Application Data Sheet [4-1.1]—page 4 of 6)

35 U.S.C. § 120: Application No.: \_\_\_\_\_  
Filed: \_\_\_\_\_  
Status: \_\_\_\_\_  
Relationship: \_\_\_\_\_

35 U.S.C. § 121: Application No.: \_\_\_\_\_  
Filed: \_\_\_\_\_  
Status: \_\_\_\_\_  
Relationship: \_\_\_\_\_

35 U.S.C. § 365(c): Application No.: \_\_\_\_\_  
Filed: \_\_\_\_\_  
Status: \_\_\_\_\_  
Relationship: \_\_\_\_\_

#### 6. Foreign priority information

**NOTE:** "Foreign priority information. This information includes the application number, country, and filing date of each foreign application for which priority is claimed, as well as any foreign application having a filing date before that of the application for which priority is claimed. Providing this information in the application data sheet constitutes the claim for priority as required by 35 U.S.C. 119(b) and § 1.55(a)." 37 C.F.R. § 1.76(b)(6).

**WARNING:** Section 1.55(a) provides (1)that in an original application filed under 35 U.S.C. 111(a) (other than a design application) the claim for priority must be presented during the pendency of the application, and within the later of four months from the actual filing date of the application or sixteen months from the filing date of the prior foreign application; (2) in an application that entered the national stage from an international application after compliance with 36 U.S.C. 371, the claim for priority must be made during the pendency of the application and within the time limit set forth in the PCT and the Regulations under the PCT.

Foreign priority is claimed for this application as follows:

Country: \_\_\_\_\_  
Application No.: \_\_\_\_\_  
Filing date: \_\_\_\_\_  
Status: \_\_\_\_\_

Foreign application having a filing date before that of the above application for which priority is claimed.

None  
 Country: \_\_\_\_\_  
Application No.: \_\_\_\_\_  
Filing date: \_\_\_\_\_  
Status: \_\_\_\_\_

## 7. Assignee information

NOTE: 37 C.F.R. § 1.76(b) "Assignee information. This information includes the name (either person or juristic entity) and address of the assignee of the entire right, title, and interest in an application. Providing this information in the application data sheet does not substitute for compliance with any requirement of part 3 of this chapter to have an assignment recorded by the Office."

NOTE: 37 C.F.R. § 1.215(b): "(b) If applicant wants the patent application publication to include assignee information, the applicant must include the assignee information on the application transmittal sheet or the application data sheet (§ 1.76). Assignee information may not be included on the patent application publication unless this information is provided on the application transmittal sheet or application data sheet included with the application on filing. Providing this information on the application transmittal sheet or the application data sheet does not substitute for compliance with any requirement of part 3 of this chapter to have an assignment recorded by the Office."

The assignee(s) of this application is/are:

Name of assignee: DUKE UNIVERSITY

Office of Science and Technology

Address of assignee: 230 North Building, Research Drive

Durham, NC 27708-0083

Extent of interest of assignee in application: 100 percent

Reg. No. 22495

Tel. No. (703) 415-1500

Customer No.



Signature of Practitioner

Eric S. Spector

(type or print name of practitioner)

JONES, TULLAR & COOPER, P.C.

P.O. Box 2266 Eads Station

P.O. Address

Arlington, Virginia 22202

(Application Data Sheet [4-1.1]—page 6 of 6)